- <sup>1</sup> Title: Tree height and leaf drought tolerance traits shape growth responses across droughts in a temperate
- 2 broadleaf forest

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## 22 Summary

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- As climate change drives increased drought in many forested regions, mechanistic understanding of the
  factors conferring drought tolerance in trees is increasingly important. The dendrochronological record
  provides a window through which we can understand how tree size and traits shape growth responses
  to droughts.
- We analyzed tree-ring records for twelve species in a broadleaf deciduous forest in Virginia (USA) to test hypotheses on how tree height, microenvironment characteristics, and species' traits shaped drought responses across the three strongest regional droughts over a 60-year period.
  - Drought tolerance (resistance, recovery, and resilience) decreased with tree height, which was strongly correlated with exposure to higher evaporative demand and solar radiation. The potentially greater rooting volume of larger trees did not confer a resistance advantage, but marginally increased recovery and resilience, in sites with low topographic wetness index. Drought tolerance was greater among species whose leaves experienced less shrinkage upon desiccation and lost turgor (wilted) at more negative water potentials.
- The tree-ring record reveals that tree height and leaf drought tolerance traits influenced growth responses during and after significant droughts in the meteorological record. As climate change-induced droughts intensify, tall trees with drought-sensitive leaves will be most vulnerable to immediate and longer-term growth reductions.
- Key words: annual growth; crown exposure; drought; Forest Global Earth Observatory (ForestGEO); leaf drought tolerance traits; temperate broadleaf deciduous forest; tree height; tree-ring

- Introduction Forests play a critical global role in climate regulation (Bonan, 2008), yet there remains enormous uncertainty as to how the forest-dominated terrestrial carbon sink will respond to climate change (Friedlingstein et al., 2006). An important aspect of this uncertainty lies with physiological responses of trees 45 to drought (Kennedy et al., 2019). In many forested regions around the world, the risk of severe drought is increasing (Trenberth et al., 2014; Dai et al., 2018), often despite increasing precipitation (Intergovernmental Panel on Climate Change, 2015; Cook et al., 2015). Droughts, intensified by climate change, have been affecting forests worldwide and are expected to continue as one of the most important drivers of forest change in the future (Allen et al., 2010, 2015; McDowell et al., 2020). Understanding forest responses to drought requires elucidation of how tree size, microenvironment, and species' traits jointly influence 51 individual-level drought tolerance, defined here as a tree's ability to maintain growth during drought (resistance) and to recover to its pre-drought growth rate (resilience) (Lloret et al., 2011). Because the resistance and resilience of growth to drought are linked to trees' probability of surviving drought (DeSoto et al., 2020; Liu et al., 2019), understanding growth responses can also help elucidate which trees are most 55 vulnerable to drought-induced mortality. However, it has proven difficult to resolve the many factors affecting tree growth during drought and the extent to which their influence is consistent across droughts. This is because available forest census data only rarely captures extreme drought, whereas tree-ring records capture multiple droughts but typically focus on only the largest individuals of one or a few species. Many studies have shown that within and across species, large trees tend to be more affected by drought. Greater growth reductions (i.e., lower drought resistance) in larger trees were first shown on a global scale by Bennett et al. (2015), and subsequent studies have reinforced this finding (e.g., Gillerot et al., 2020). Although lower recovery and resilience of larger trees have also been observed (Hacket-Pain et al., 2016; Gillerot et al., 2020), in general we have much more limited understanding of how and why these scale with tree size.
- physiological model of Trugman et al. (2018) predicts that recovery and resilience would not necessarily be lower, even in trees that will ultimately die.
- Moreover, it has yet to be resolved which of several potential underlying mechanisms most strongly shape these trends in drought response. First, tree height itself may be a primary driver. Taller trees face the biophysical challenge of lifting water greater distances against the effects of gravity and friction (McDowell et al., 2011; McDowell and Allen, 2015; Ryan et al., 2006; Couvreur et al., 2018). Vertical gradients in stem 71 and leaf traits-including smaller and thicker leaves (higher leaf mass per area, LMA), greater resistance to 72 hydraulic dysfunction (i.e., more negative water potential at 50% loss of hydraulic conductivity, more 73 negative P50), and lower hydraulic conductivity at greater heights (Couvreur et al., 2018; Koike et al., 2001; McDowell et al., 2011)—enable trees to become tall (Couvreur et al., 2018). Greater stem capacitance (i.e., 75 water storage capacity) of larger trees may also confer resistance to transient droughts (Phillips et al., 2003; Scholz et al., 2011). Taller trees have wider conduits in the basal portions of taller trees, both within and 77 across species (Olson et al., 2018; Liu et al., 2019) and throughout the conductive systems of angiosperms 78 (Zach et al., 2010; Olson et al., 2014, 2018), which help maintain constant the resistance that would otherwise increase as trees grow taller. Wider xylem conduits plausibly make large trees more vulnerable to embolism during drought (Olson et al., 2018), and traits conducive to efficient water transport may also lead to poor ability to recover from or re-route water around embolisms (Roskilly et al., 2019). (here would be a good place to comment on resilience.)

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Larger trees may also have lower drought tolerance because of microenvironmental and ecological factors.
    Their crowns tend to occupy more exposed canopy positions, which are associated with higher evaporative
    demand (Kunert et al., 2017). Subcanopy trees tend to fare better specifically due to the benefits of a
    buffered environment (Pretzsch et al., 2018). Counteracting the liabilities associated with tall height, large
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    trees tend to have larger root systems (Enquist and Niklas, 2002; Hui et al., 2014), potentially mitigating
    some of the biophysical challenges they face by allowing greater access to water. Larger root systems-if they
    grant access to deeper water sources—would be particularly advantageous in drier microenvironments (e.g.,
    hilltops, as compared to valleys and streambeds) during drought. Finally, tree size-related responses to
    drought can be modified by species' traits and their distribution across size classes (Meakem et al., 2018; Liu
    et al., 2019). Understanding the mechanisms driving the greater relative growth reductions of larger trees
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    during drought requires sorting out the interactive effects of height and associated exposure, root water
    access, and species' traits.
    Debates have also arisen regarding the traits influencing tree growth responses to drought. Studies within
    temperate broadleaf forests have observed ring-porous species showing higher drought tolerance than
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    diffuse-porous species (Friedrichs et al., 2009; Elliott et al., 2015; Kannenberg et al., 2019), but this
    distinction does not always hold (Martin-Benito and Pederson, 2015), would not hold in the global context
    (Wheeler et al., 2007; Olson et al., 2020) and does not resolve differences among the many species within
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    each category. Commonly-measured traits including wood density and leaf mass per area (LMA) have been
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    linked to drought responses within some temperate deciduous forests (Abrams, 1990; Guerfel et al., 2009;
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    Hoffmann et al., 2011; Martin-Benito and Pederson, 2015) and across forests worldwide (Greenwood et al.,
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    2017). However, in other cases these traits could not explain drought tolerance (e.g., in a tropical rainforest;
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    Maréchaux et al., 2019), or the direction of response was not always consistent. For instance, higher wood
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    density has been associated with greater drought resistance at a global scale (Greenwood et al., 2017), but
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    correlated negatively with tree performance during drought in a broadleaf deciduous forest in the
    southeastern United States (Hoffmann et al., 2011). Thus, the perceived influence of these traits on drought
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    resistance may actually reflect indirect correlations with other traits that more directly drive drought
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    responses (Hoffmann et al., 2011).
    In contrast, hydraulic traits have direct physiological linkages to tree growth and mortality responses to
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    drought. For instance, water potentials at which percent the loss of conductivity surpasses a certain
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    threshold (e.g., P50 and P88, representing 50 and 88% loss of conductivity, respectively) and hydraulic safety
    margin (i.e., difference between typical minimum water potentials and P50 or P88) correlate with drought
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    performance across global forests (Anderegg et al., 2016). However, these are time-consuming to measure and
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    therefore infeasible for predicting or modeling drought responses in highly diverse forests (e.q., in the tropics).
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    More easily-measurable leaf drought tolerance traits that have direct linkage to plant hydraulic function can
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    explain variation in plant distribution and function (Medeiros et al., 2019). These include leaf area shrinkage
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    upon desiccation (PLA_{dry}; Scoffoni et al., 2014) and the leaf water potential at turgor loss point (\pi_{tlp}), i.e.,
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    the water potential at which leaf wilting occurs (Bartlett et al., 2016a; Zhu et al., 2018). Both traits correlate
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    with hydraulic vulnerability and drought tolerance as part of unified plant hydraulic systems (Scoffoni et al.,
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    2014; Bartlett et al., 2016a; Zhu et al., 2018; Farrell et al., 2017). The abilities of both PLA_{dry} and \pi_{tlp} to
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    explain the drought tolerance of tree growth remains untested.
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    Here, we examine how tree height, microenvironment characteristics, and species' traits collectively shape
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    three metrics of drought tolerance: (1) resistance, defined as the ratio of annual stem growth in a drought
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year to that which would be expected in the absence of drought based on previous years' growth; (2) 126 recovery, defined the ratio of post-drought growth to growth during the drought year; and (3) resilience, defined as the ratio of post-drought to pre-drought growth (Lloret et al., 2011). We test a series of 128 hypotheses and associated specific predictions (Table 1) based on the combination of tree-ring records from 129 the three strongest droughts over a 60-year period (1950 - 2009), species trait measurements, and census and microenvironmental data from a large forest dynamics plot in Virginia, USA. First, we focus on how tree size, 131 alone and in its interaction with microenvironmental gradients, influences drought tolerance. We examine the 132 contemporary relationship between tree height and microenvironment, including growing season meteorological conditions and crown exposure. We then test whether, consistent with most forests globally, 134 larger-diameter, taller trees tend to have lower drought tolerance in this forest, which is in a region (eastern 135 North America) represented by only two studies in the global review of (Bennett et al., 2015). We also test for an influence of potential access to available soil water, which should be greater for larger trees in dry but 137 not in perpetually wet microsites. Finally, we focus on the role of species' traits, testing the hypothesis that 138 species' traits-particularly leaf drought tolerance traits-predict drought tolerance. We test predictions that 139 drought tolerance is higher in ring-porous than semi-ring and diffuse-porous species and that it is correlated 140 with wood density-either positively (Greenwood et al., 2017) or negatively (Hoffmann et al., 2011) and 141 positively correlated with LMA. We further test predictions that species with low  $PLA_{dry}$  and those whose leaves lose turgor at lower water potentials (more negative  $\pi_{tlp}$ ) have higher tolerance. 143

### 144 Materials and Methods

145 Study site and microclimate

Research was conducted at the 25.6-ha ForestGEO (Forest Global Earth Observatory) study plot at the
Smithsonian Conservation Biology Institute (SCBI) in Virginia, USA (38°53'36.6"N, 78°08'43.4"W; Fig. S1)
(Bourg et al., 2013; Anderson-Teixeira et al., 2015a). SCBI is located in the central Appalachian Mountains
near the northern boundary of Shenandoah National Park. Elevations range from 273 to 338 m above sea
level with a topographic relief of 65m (Bourg et al., 2013). Climate is humid temperate, with mean annual
temperature of 12.7°C and precipitation of 1005 mm yr<sup>-1</sup> during our study period (1960-2009; source: CRU
TS v.4.01; Harris et al., 2014). Dominant tree taxa within this secondary forest include *Liriodendron*tulipifera, oaks (Quercus spp.), and hickories (Carya spp.; Table 2).

154 Identifying drought years

We identified the three largest droughts within the time period 1950-2009, defining drought (Slette et al., 2019) as events with anomalously dry peak growing season climatic conditions. Specifically, we used the metric of Palmer Drought Severity Index (PDSI) during May-August (MJJA; Table S1), which were identified by Helcoski et al. (2019) as the months of the current year to which annual tree growth was most sensitive at this site. PDSI divisional data for Northern Virginia were obtained from NOAA (https://www7.ncdc.noaa.gov/CDO/CDODivisionalSelect.jsp) in December 2017. Based on this, we identified the three strongest droughts during the study period (Figs. 1, S1; Table S1).

The droughts differed in intensity and antecedent moisture conditions (Fig. **S1**, Table S1). The 1966 drought was preceded by two years of moderate drought during the growing season and severe to extreme drought starting the previous fall. In August 1966, *PDSI* reached its lowest monthly value (-4.82) of the three droughts. The 1977 drought was the least intense throughout the growing season, and it was preceded by 2.5

years of near-normal conditions, making it the mildest of the three droughts. The 1999 drought was preceded by wetter than average conditions until the previous June, but *PDSI* plummeted below -3.0 in October 1998 and remained below this threshold through August 1999.

Within or just outside the ForestGEO plot, we collected data on a suite of variables including tree heights,

Data collection and preparation

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microenvironment characteristics, and species traits (Table 3). The SCBI ForestGEO plot was censused in 171 2008, 2013, and 2018 following standard ForestGEO protocols, whereby all free-standing woody stems ≥ 1cm diameter at breast height (DBH) were mapped, tagged, measured at DBH, and identified to species (Condit, 173 1998). From these census data, we used measurements of DBH from 2008 to calculate historical DBH and 174 data for all stems  $\geq$  10cm to analyze functional trait composition relative to tree height (all analyses described below). Census data are available through the ForestGEO data portal (www.forestgeo.si.edu). 176 We analyzed tree-ring data (xylem growth increment) from 571 trees representing the twelve dominant 177 species (Table 2; Fig. S2). Selected species were those with the greatest contributions to woody aboveground 178 net primary productivity  $(ANPP_{stem})$  and together comprised 97% of study plot  $ANPP_{stem}$  between 2008 179 and 2013 (Helcoski et al., 2019). Cores (one per tree) were collected within the ForestGEO plot at breast 180 height (1.3m) in 2010-2011 or 2016-2017. In 2010-2011, cores were collected from randomly selected live trees of each species that had at least 30 individuals ≥ 10 cm DBH (Bourg et al., 2013). Annual tree mortality 182 censuses were initiated in 2014 (Gonzalez-Akre et al., 2016), and in 2016-2017, cores were collected from all 183 trees found to have died since the previous year's census. We note that drought was probably not a cause of 184 mortality for these trees, as monthly May-Aug PDSI did not drop below -1.75 in these years or the three years prior (2013-2017), and that trees cored dead displayed similar climate sensitivity to trees cored live 186 (Helcoski et al., 2019). Lagged drought-induced mortality would be unlikely, given that the trees analyzed here lived at least 17-18 years past the most recent major drought (1999), whereas the meta-analysis of Trugman et al. (2018) indicates that >10-year lags in drought-attributed mortality are rare. Cores were 189 sanded, measured, and crossdated using standard procedures, as detailed in (Helcoski et al., 2019). The resulting chronologies (Fig. 1a) were published in Zenodo (DOI: 10.5281/zenodo.2649302) in association 191 with Helcoski et al. (2019). 192 For each cored tree, we combined tree-ring records and allometric equations of bark thickness to reconstruct 193

$$DBH_{Y} = DBH_{2008} - 2 * \left[ r_{bark,2008} - r_{bark,Y} + \sum_{year=Y}^{2008} r_{ring,Y} \right]$$

Here, Y denotes the year of interest,  $r_{ring}$  denotes ring width derived from cores, and  $r_{bark}$  denotes bark

DBH for the years 1950-2009. Prior DBH was estimated using the following equation:

thickness. Bark thickness was estimated from species-specific allometries based on the bark thickness data from the site (Anderson-Teixeira et al., 2015b). Specifically, we used linear regression on log-transformed data to relate  $r_{bark}$  to diameter inside bark from 2008 data (Table S2), which were then used to determine  $r_{bark}$  in the DBH reconstruction. Tree heights (H) were measured by several researchers for a variety of purposes between 2012 and 2019 (n=1,518 trees). Methods included direct measurements using a collapsible measurement rod on small trees

(NEON, 2018) or a tape measure on recently fallen trees (this study); geometric calculations using clinometer

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2018); and ground-based LiDAR (Stovall et al., 2018b). Rangefinders used either the tangent method
    (Impulse 200LR, TruPulse 360R) or the sine method (Nikon ForestryPro) for calculating heights. Both
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    methods are associated with some error (Larjavaara and Muller-Landau, 2013), but in this instance there was
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    no clear advantage of one or the other. Measurements from the National Ecological Observatory Network
    (NEON) were collected near the ForestGEO plot following standard NEON protocol, whereby vegetation of
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    short stature was measured with a collapsible measurement rod, and taller trees with a rangefinder (NEON,
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    2018). Species-specific height allometries were developed (Table S3) using log-log regression
    (\ln[H] \sim \ln[DBH]). For species with insufficient height data to create reliable species-specific allometries
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    (n=2, JUNI and FRAM), heights were calculated from an equation developed by combining the height
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    measurements across all species. We then used these allometries to estimate H for each drought year, Y,
    based on reconstructed DBH_Y. The distribution of H across drought years is shown in Fig. S3.
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    To characterize how environmental conditions vary with height, data were obtained from the NEON tower
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    located <1km from the study area via the neonUtilities package (Lunch et al., 2020). We used wind speed,
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    relative humidity, and air temperature data, all measured over a vertical profile spanning heights from 7.2 m
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    to above the top of the tree canopy (31.0 or 51.8m, depending on censor), for the years 2016-2018 (NEON,
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    2018). After filtering for missing and outlier values, we determined the daily minima and maxima, which we
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    then aggregated at the monthly scale.
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    Crown position—a categorical variable classifying trees based on exposure to sunlight—was recorded for all
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    cored trees that remained standing during the growing season of 2018 following the protocol of Jennings et al.
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    (1999). Trees were classified as follows: dominant trees were defined as those with crowns above the general
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    level of the canopy, co-dominant trees as those with crowns within the the canopy; intermediate trees as
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    those with crowns below the canopy level, but illuminated from above; and suppressed as those below the
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    canopy and receiving minimal direct illumination from above.
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    Topographic wetness index (TWI), used here as a metric of long-term mean moisture availability, was
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    calculated using the dynatopmodel package in R (Fig. S2) (Metcalfe et al., 2018). Originally developed by
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    Beven and Kirkby (1979), TWI was part of a hydrological run-off model and has since been used for a
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    number of purposes in hydrology and ecology (Sørensen et al., 2006). TWI calculation depends on an input
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    of a digital elevation model (DEM; ~3.7 m resolution from the elevatr package (Hollister, 2018)), and from
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    this yields a quantitative assessment defined by how "wet" an area is, based on areas where run-off is more
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    likely. From our observations in the plot, TWI performed better at categorizing wet areas than the Euclidean
    distance from the stream.
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    Species' trait data were collected in August 2018 (Tables 2-3; Fig. S4). We sampled small, sun-exposed
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    branches up to eight meters above the ground from three individuals of each species in and around the
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    ForestGEO plot. Sampled branches were re-cut under water at least two nodes above the original cut and
    re-hydrated overnight in covered buckets under opaque plastic bags before measurements were taken.
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    Rehydrated leaves taken towards the apical end of the branch (n=3 per individual: small, medium, and
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    large) were scanned, weighed, dried at 60^{\circ} C for \geq 48 hours, and then re-scanned and weighed. Leaf area
    was calculated from scanned images using the LeafArea R package (Katabuchi, 2019). LMA was calculated
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    as the ratio of leaf dry mass to fresh area. PLA_{dry} was calculated as the percent loss of area between fresh
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    and dry leaves. Wood density was calculated for ~1cm diameter stem samples (bark and pith removed) as
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    the ratio of dry weight to fresh volume, which was estimated using Archimedes' displacement. We used the
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and tape measure (Stovall et al., 2018a) or digital rangefinders (Anderson-Teixeira et al., 2015b; NEON,

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rapid determination method of Bartlett et al. (2012) to estimate osmotic potential at turgor loss point  $(\pi_{tln})$ . 245 Briefly, two 4 mm diameter leaf discs were cut from each leaf, tightly wrapped in foil, submerged in liquid nitrogen, perforated 10-15 times with a dissection needle, and then measured using a vapor pressure 247 osmometer (VAPRO 5520, Wescor, Logan, UT, USA). Osmotic potential  $(\pi_{osm})$  given by the osmometer was 248 used to estimate  $(\pi_{tlp})$  using the equation  $\pi_{tlp} = 0.832\pi_{osm}^{-0.631}$  (Bartlett et al., 2012). Statistical Analysis For each drought year, we calculated a metric drought resistance (Rt) as the ratio of basal area increment 251 (BAI; i.e., change in cross-sectional area) during the drought year to the mean BAI over the five years 252 preceding the drought (Lloret et al., 2011). Thus, Rt values <1 and >1 indicate growth reductions and 253 increases, respectively. Because the Rt metric could be biased by directional pre-drought growth trends, we 254 also tried an intervention time series analysis (ARIMA, Hyndman et al., 2020) that predicted mean 255 drought-year growth based on trends over the preceding ten years and used this value in place of the 256 five-year mean in calculations of resistance ( $Rt_{ARIMA}$ = observed BAI/ predicted BAI). The two metrics were strongly correlated (Fig. S5). Visual review of the individual tree-ring sequences with the largest 258 discrepancies between these metrics revealed that Rt was less prone to unreasonable estimates than 259  $Rt_{ARIMA}$ , so we selected Rt as our focal metric, presenting parallel results for  $Rt_{ARIMA}$  in the 260 Supplementary Info. In this study we focus exclusively on drought resistance metrics (Rt or  $Rt_{ARIMA}$ ), and 261 not on the resilience metrics described in Lloret et al. (2011), because (1) we would expect resilience to be 262 controlled by a different set of mechanisms, and (2) the findings of DeSoto et al. (2020) suggest that Rt is a 263 more important drought response metric for angiosperms in that low resistance to moderate droughts was a 264 better predictor of mortality during subsequent severe droughts than the resilience metrics. 265 Analyses focused on testing the predictions presented in Table 1 with Rt as the response variable, and then 266 repeated using  $Rt_{ARIMA}$  as the response variable. Models were run for all drought years combined and for 267 each drought year individually. The general statistical model for hypothesis testing was a mixed effects 268 model, implemented in the lme4 package in R (Bates et al., 2019). In the multi-year model, we included a 269 random effect of tree nested within species and a fixed effect of drought year to represent the combined 270 effects of differences in drought characteristics. Individual year models included a random effect of species. 271 All models included fixed effects of independent variables of interest (Tables 1,3) as specified below. All 272 variables across all best models had variance inflation factors <1.2 (1 +/- 0.019). We used Akaike 273 information criterion with correction for small sample sizes (AICc; see Brewer et al., 2016) to assess model 274 selection, and conditional/marginal R-squared to assess model fit as implemented in the AICcmodavg package in R (Mazerolle and portions of code contributed by Dan Linden., 2019). Individual model terms 276 were considered significant when their addition to a model improved fit at  $\Delta AICc > 2.0$ , where  $\Delta AICc$  is the 277 difference in AICc between models with and without the trait. To avoid over-fitting models with five species traits (Table 3) across only 12 species, we did not include all traits as fixed effects in a single linear mixed model, but rather conducted individual tests of each species 280 trait to determine the relative importance and appropriateness for inclusion in the main model. These tests 281 followed the model structure specified above, then added ln[H] and ln[TWI] to create a base model against which we tested traits. Trait variables were considered appropriate for inclusion in the main model if their 283 addition to the base model significantly improved fit for at least one metric of drought tolerance (Rt, Rc, or 284 Rs; Tables S4,S6-S7). While we tested the signficance of xylem porosity as a predictor (Table 1), we did not 285 consider it appropriate for inclusion in the main model because of highly uneven distribution of species across

categories (Table 2) and opposite drought responses of the only two diffuse-porous species (detailed below).

We then determined the top full models for predicting Rt (or  $Rt_{ARIMA}$ ). To do so, we compared models 288 with all possible combinations of candidate variables, including  $ln[H]^*ln[TWI]$  and species traits as specified 289 above. We identified the full set of models within  $\triangle AICc=2$  of the best model (that with lowest AICc). 290 When a variable appeared in all of these models and the sign of the coefficient was consistent across models, 291 we viewed this as support for the acceptance/rejection of the associated prediction (Table 1). If the variable appeared in some but not all of these models, and its sign was consistent across models, we considered this 293 partial support/rejection. In presentation of the results below, we note instances where the  $Rt_{ARIMA}$  model 294 disagreed with the Rt model, but otherwise do not discuss the  $Rt_{ARIMA}$  model. Visualization of the best mixed effects model per drought scenario (Fig. 4) was created by the visreg package (Breheny and Burchett, 296 2020). 297

All analysis beyond basic data collection was performed using R version 3.6.2 (R Core Team, 2019). Other
R-packages used in analyses are listed in the Supplementary Information (Appendix S1). All data, code, and
results are available through the SCBI-ForestGEO organization on GitHub
(https://github.com/SCBI-ForestGEO: SCBI-ForestGEO-Data and McGregor\_climate-sensitivity-variation
repositories), with static versions corresponding to data and analyses presented here archived in Zenodo
(DOIs: 10.5281/zenodo.3604993 and [TBD], respectively.

#### 304 Results

305 Tree height and microenvironment

In the years for which we have vertical profiles in climate data (2016-2018), taller trees—or those in dominant crown positions— were generally exposed to higher evaporative demand during the peak growing season months (May-August; Fig. 2). Specifically, maximum daily wind speeds were significantly higher above the top of the canopy (40-50m) than within and below (10-30m) (Fig. 2a). Relative humidity was also somewhat lower during June-August, ranging from ~50-80% above the canopy and ~60-90% in the understory (Fig. 2b). Air temperature did not vary consistently across the vertical profile (Fig. 2c).

Crown position varied as expected with height (dominant > co-dominant > intermediate > suppressed), but with substantial variation (Fig. 2d). There were significant differences in height across all crown position classes (Fig. 2d). A comparison test between height and crown position data from the most recent ForestGEO census (2018) revealed a correlation of 0.73.

316 Community-level drought responses

At the community level, cored trees showed substantial growth reductions in all three droughts, with a mean Rt of 0.86 in 1966 and 1999, and 0.84 in 1977 (Fig. **2b**). Across the entire study period (1950-2009), the focal drought years were the three years with the largest fraction of trees exhibiting  $Rt \leq 0.7$ . Specifically, in each drought, roughly 30% of the cored trees had growth reductions of  $\geq 30\%$  ( $Rt \leq 0.7$ ): 29% in 1966, 32% in 1977, and 27% in 1999. However, some individuals exhibited increased growth, *i.e.*, Rt > 1.0: 26% of trees in 1966, 22% in 1977, and 26% in 1999.

In the context of the multivariate model, Rt did not vary across drought years. That is, drought year as a variable did not appear in any of the top models – *i.e.*, models that were statistically indistinguishable ( $\Delta$ AICc<2) from the best model (see footnotes on Tables S8-S9).

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Tree height, microenvironment, and drought resistance
    Taller trees (based on H in the drought year) showed stronger growth reductions during drought (Table 1;
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    Fig. 4). Specifically, ln[H] appeared, with a negative coefficient, in the best model ((\Delta AICc=0) and all top
    models when evaluating the three drought years together (Tables S8-S9). The same held true for 1966
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    individually. For the 1977 drought, ln[H] did not appear in the best model, but was included, with a
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    negative coefficient, among the top models-i.e., models that were statistically indistinguishable (\Delta AICc<2)
    from the best model (Tables 1, S6-S9). For the 1999 drought, ln[H] had no significant effect.
332
    Rt had a significantly negative response to ln[TWI] across all drought years combined (Fig. 4, Table S8-S9).
333
    The effect was also significant for 1977 and 1999 individually (Fig. 4, Table S8). When Rt_{ARIMA} was used
334
    as the response variable, the effect was significant in 1977, and included in some of the top models in 1966
    and 1999 (Table S9). This negates the idea that trees in moist microsites would be less affected by drought.
336
    Nevertheless, we tested for a ln[H] * ln[TWI] interaction, a negative sign of which could indicate that smaller
337
    trees (presumably with smaller rooting volume) are more susceptible to drought in drier microenvironments
    with a deeper water table. This hypothesis was rejected, as the ln[H] * ln[TWI] interaction was never
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    significant, and had a positive sign in any top models in which it appeared (Tables 1, S8-S9). This term did
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    appear with a positive coefficient in the best Rt_{ARIMA} model for all years combined (Table S9), indicating
341
    that the negative effect of height on Rt was significantly stronger in wetter microhabitats.
342
    Species' traits and drought resistance
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    Species, as a factor in ANOVA, had significant influence (p<0.05) on all traits (wood density, LMA,
344
    PLA_{dry}, and \pi_{tlp}), with more significant pairwise differences for wood density and PLA_{dry} than for LMA
    and \pi_{tlp} (Table 2, Fig. S4 as characterized by the agricolae package de Mendiburu (2020)). Drought
346
    resistance also varied across species, overall and in each drought year (Fig. 3). Significant differences in Rt
347
    across species were most pronounced in 1966 with a total of seven distinct groupings, while 1977 had four
    and 1999 had two. Averaged across all droughts, Rt was lowest in Liriodendron tulipifera (mean Rt = 0.66)
349
    and highest in Fagus grandifolia (mean Rt = 0.99).
350
    Wood density, LMA, and xylem porosity were all poor predictors of Rt (Tables 1,S4-S5). Wood density and
351
    LMA were never significantly associated with Rt in the single-variable tests and were therefore excluded
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    from the full models. Xylem porosity was also excluded from the full models, as it had no significant
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    influence for all droughts combined and had contrasting effects in the individual droughts: whereas
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    ring-porous species had higher Rt than diffuse- and semi-ring- porous species in the 1966 and 1999 droughts,
355
    they had lower Rt in 1977 (Table S4). It is noteworthy that the two diffuse-porous species in our study,
356
    Liriodendron tulipifera and Fagus grandifolia, were at opposite ends of the Rt spectrum (Fig. 3), further
357
    refuting the idea that xylem porosity is a useful predictor of Rt in the context of this study.
    In contrast, PLA_{dry}, and \pi_{tlp} were both negatively correlated to drought resistance and resilience (Fig. 4;
359
    Tables 1, S4-S11). PLA_{dry} had a significant influence, with negative coefficient, in full models for the three
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    droughts combined and for the 1966 drought individually (Fig. 4; Tables S8-S9). For 1977 and 1999, it was
361
    included with a negative coefficient in some of the top models (Tables S8-S9). \pi_{tlp} was included with a
    negative coefficient in the best model for both all droughts combined and for the 1977 drought individually
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    (Fig. 4; Table S8), although its influence was not significant at \Delta AICc < 2. It was also included in some of
    the top models for 1999 (Tables S8-S9).
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#### 66 Discussion

Tree height, microenvironment, and leaf drought tolerance traits shaped tree growth responses across three 367 droughts at our study site (Table 1, Fig. 4). The greater susceptibility of larger trees to drought, similar to 368 forests worldwide (Bennett et al., 2015), was driven primarily by their height (Stovall et al., 2019). Taller 369 height was likely a liability in itself, and was also associated with greater exposure to conditions that would 370 promote water loss and heat damage during drought (Fig. 2). There was no evidence that greater 371 availability of, or access to, soil water availability increased drought resistance; in contrast, trees in wetter 372 topographic positions had lower Rt (Zuleta et al., 2017; Stovall et al., 2019), and the larger potential rooting 373 volume of large trees provided no advantage in the drier microenvironments. The negative effect of height on 374 Rt held after accounting for species' traits, which is consistent with recent work finding height had a stronger 375 influence on mortality risk than forest type during drought (Stovall et al., 2020). Drought resistance was not 376 consistently linked to species' LMA, wood density, or xylem type (ring- vs. diffuse porous), but was 377 negatively correlated with leaf drought tolerance traits  $(PLA_{dru}, \pi_{tlp})$ . This is the first study to our 378 knowledge linking  $PLA_{dry}$  and  $\pi_{tlp}$  to growth reduction during drought. The directions of these responses 379 were consistent across droughts (Table S8), supporting the premise that they were driven by fundamental 380 physiological mechanisms. However, the strengths of each predictor varied across droughts (Fig. 4; Tables 381 S8-S9), indicating that drought characteristics interact with tree size, microenvironment, and traits to shape 382 which individuals are most affected. These findings advance our knowledge of the factors that make trees 383 vulnerable to stem growth declines during drought and, by extension, likely make them more vulnerable to 384 mortality (Sapes et al., 2019). 385 The droughts considered here were of a magnitude that has occurred with an average frequency of 386 approximately once every 10-15 years (Fig. 1a, Helcoski et al., 2019) and had substantial but not 387 devastating impacts on tree growth (Figs. 1b). These droughts were classified as severe (PDSI < -3.0; 1977) 388 or extreme (PDSI < -4.0; 1966, 1999) at our site and have been linked to tree mortality in the eastern 389 United States (Druckenbrod et al., 2019). However, extreme, multiannual droughts such as the so-called 390 "megadroughts" of this type that have triggered massive tree die-off in other regions (e.g., Allen et al., 2010; 391 Stovall et al., 2019) have not occurred in the Eastern United States within the past several decades (Clark 392 et al., 2016). Of the droughts considered here, the 1966 drought, which was preceded by two years of dry 393 conditions (Fig. S1), severely stressed a larger portion of trees (Fig. 1b). The tendency for large trees to 394 have lowest resistance was most pronounced in this drought, consistent with other findings that this 395 physiological response increases with drought severity (Bennett et al., 2015; Stovall et al., 2019). Across all three droughts, the majority of trees experienced reduced growth, but a substantial portion (e.g., short 397 understory trees, species with drought resistant traits; Fig. 4) had increased growth (Fig. 1b), consistent 398 with prior observations that smaller trees can exhibit increased growth rates during drought (Bennett et al., 2015). It is likely because of the moderate impact of these droughts, along with other factors influencing tree 400 growth (e.g., stand dynamics), that our best models characterize only a modest amount of variation in Rt: 401 11-12% for all droughts combined, and 18-25% for each individual drought (Table S8). 402 Consistent with studies in other forests worldwide (Bennett et al., 2015), taller trees in this forest exhibited 403 lower drought resistance. Mechanistically, this is consistent with, and reinforces, previous findings that it 404 impossible for trees to efficiently transport water to great heights and simultaneously maintain strong 405 resistance and resilience to drought-induced embolism (Olson et al., 2018; Couvreur et al., 2018; Roskilly et al., 2019). Taller trees also face dramatically different microenvironments (Fig. 2). They are exposed to

higher wind speeds and lower humidity (Fig. 2a-b), resulting in higher evaporative demand. Unlike other 408 temperate forests where modestly cooler understory conditions have been documented (Zellweger et al., 2019), particularly under drier conditions (Davis et al., 2019), we observed no significant variation in air 410 temperatures across the vertical profile (Fig. 2c). More critically for tree physiology, leaf temperatures can 411 become significantly elevated over air temperature under conditions of high solar radiation and low stomatal conductance (Campbell and Norman, 1998; Rev-Sánchez et al., 2016). Under drought, when air temperatures 413 tend to be warmer, direct solar radiation tends to be higher (because of less cloud cover), and less water is 414 available for evaporative cooling of the leaves, trees with sun-exposed crowns may not be able to 415 simultaneously maintain leaf temperatures below damaging extremes and avoid drought-induced embolism. 416 Indeed, previous studies have shown lower drought resistance in more exposed trees (Liu and Muller, 1993; 417 Suarez et al., 2004; Scharnweber et al., 2019). Unfortunately, collinearity between height and crown exposure in this study (Fig. 2d) makes it impossible to confidently partition causality. Additional research comparing 419 drought responses of early successional and mature forest stands, along with short and tall isolated trees, 420 would be valuable for more clearly disentangling the roles of tree height and crown exposure. 421 Belowground, taller trees would tend to have larger root systems (Enquist and Niklas, 2002; Hui et al., 2014), 422 but this does not necessarily imply that they have greater access to or reliance on deep soil-water resources 423 that may be critical during drought. While tree size can correlate with the depth of water extraction (Brum 424 et al., 2019), the linkage is not consistent. Shorter trees can vary broadly in the depth of water uptake (Stahl 425 et al., 2013), and larger trees may allocate more to abundant shallow roots that are beneficial for taking up 426 water from rainstorms (Meinzer et al., 1999). Moreover, reliance on deep soil-water resources can actually 427 prove a liability during severe and prolonged drought, as these can experience more intense water scarcity 428 relative to non-drought conditions (Chitra-Tarak et al., 2018). In any case, the potentially greater access to 429 water did not override the disadvantage conferred by height-and, in fact, greater moisture access in 430 non-drought years (here, higher TWI) appears to make trees more sensitive to drought (Zuleta et al., 2017; 431 Stovall et al., 2019). This may be because moister habitats would tend to support species and individuals 432 with more mesophytic traits (Bartlett et al., 2016b; Mencuccini, 2003; Medeiros et al., 2019), potentially 433 growing to greater heights [e.g., Detto et al. (2013), and these are then more vulnerable when drought hits. 434 The observed height-sensitivity of Rt, together with the lack of conferred advantage to large stature in drier 435 topographic positions, agrees with the concept that physiological limitations to transpiration under drought shift from soil water availability to the plant-atmosphere interface as forests age (Bretfeld et al., 2018), such 437 that tall, dominant trees are the most sensitive in mature forests. Again, additional research comparing 438 drought responses across forests with different tree heights and water availability would be valuable for 439 disentangling the relative importance of above- and belowground mechanisms across trees of different size. 440 The development of tree-ring chronologies for the twelve most dominant tree species at our site (Helcoski 441 et al., 2019; Bourg et al., 2013) gave us the sample size to compare historical drought responses across 442 species (Fig. 3) and associated traits at a single site (see also Elliott et al., 2015). Our study reinforced current understanding (see Introduction) that wood density and LMA are not reliably linked to drought 444 resistance (Table 1). Contrary to several previous studies in temperate deciduous forests (Friedrichs et al., 445 2009; Elliott et al., 2015; Kannenberg et al., 2019), we did not find an association between xylem porosity and drought resistance, as the two diffuse-porous species, Liriodendron tulipifera and Fagus grandifolia, were 447 at opposite ends of the Rt spectrum (Fig. 3). While the low Rt of L. tulipifera is consistent with other 448 studies (Elliott et al., 2015), the high Rt of F. grandifolia contrasts with studies identifying diffuse porous

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species in general (Elliott et al., 2015; Kannenberg et al., 2019), and the genus Faqus in particular (Friedrichs
450
    et al., 2009), as drought sensitive. There are two potential explanations for this discrepancy. First, other
    traits can and do override the influence of xylem porosity on drought resistance. Ring-porous species are
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    restricted mainly to temperate deciduous forests, while highly drought-tolerant diffuse-porous species exist in
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    other biomes (Wheeler et al., 2007). Fagus grandifolia had intermediate \pi_{tlp} and low PLA_{dry} (Fig. S4),
    which would have contributed to its drought resistance (Fig. 4; see discussion below). A second explanation
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    of why F. grandifolia trees at this particular site had higher Rt is that the sampled individuals, reflective of
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    the population within the plot, are generally shorter and in less-dominant canopy positions compared to
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    most other species (Fig. S4). The species, which is highly shade-tolerant, also has deep crowns
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    (Anderson-Teixeira et al., 2015b), implying that a lower proportion of leaves would be affected by harsher
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    microclimatic conditions at the top of the canopy under drought (Fig. 2). Thus, the high Rt of the sampled
    F. grandifolia population can be explained by a combination of fairly drought-resistant leaf traits, shorter
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    stature, and a buffered microenvironment.
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    Concerted measurement of tree-rings and leaf drought tolerance traits of emerging importance (Scoffoni
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    et al., 2014; Bartlett et al., 2016a; Medeiros et al., 2019) allowed novel insights into the role of drought
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    tolerance traits in shaping drought response. The finding that PLA_{dry} and \pi_{tlp} can be useful for predicting
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    drought responses of tree growth (Fig. 4; Table 1) is both novel and consistent with previous studies linking
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    these traits to habitat and drought tolerance. Previous studies have demonstrated that \pi_{tlp} and PLA_{dry} are
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    physiologically meaningful traits linked to species distribution along moisture gradients (Maréchaux et al.,
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    2015; Fletcher et al., 2018; Medeiros et al., 2019; Simeone et al., 2019; Rosas et al., 2019; Zhu et al., 2018),
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    and our findings indicate that these traits also influence drought responses. Furthermore, the observed
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    linkage of \pi_{tlp} to Rt in this forest aligns with observations in the Amazon that \pi_{tlp} is higher in
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    drought-intolerant than drought-tolerant plant functional type. Further, it adds support to the idea that this
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    trait is useful for categorizing and representing species' drought responses in models (Powell et al., 2017).
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    Because both PLA_{dry} and \pi_{tlp} can be measured relatively easily (Bartlett et al., 2012; Scoffoni et al., 2014),
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    they hold promise for predicting drought growth responses across diverse forests. The importance of
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    predicting drought responses from species traits increases with tree species diversity; whereas it is feasible to
    study drought responses for all dominant species in most boreal and temperate forests (e.g., this study), this
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    becomes difficult to impossible for species that do not form annual rings, and for diverse tropical forests.
    Although progress is being made for the tropics (Schöngart et al., 2017), a full linkage of drought tolerance
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    traits to drought responses would be invaluable for forecasting how little-known species and whole forests will
480
    respond to future droughts (Christoffersen et al., 2016; Powell et al., 2017).
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    As climate change drives increasing drought in many of the world's forests (Trenberth et al., 2014;
    Intergovernmental Panel on Climate Change, 2015), the fate of forests and their climate feedbacks will be
483
    shaped by the biophysical and physiological drivers observed here. Our results show that taller, more exposed
484
    trees and species with less drought-tolerant leaf traits will be most affected in terms of growth during the
    drought year. Resilience and survival are both linked to resistance (DeSoto et al., 2020; Gessler
486
    et al., 2020), implying that the same factors may influence these. Indeed, while the influence
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    of PLA_{dry} and \pi_{tlp} on drought resilience and survival remains to be tested, taller trees have
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    lower resilience (Trugman et al., 2018; Gillerot et al., 2020) and survival (Bennett et al.,
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    2015; Stovall et al., 2019). As climate change-driven droughts affect forests worldwide, there is likely to
    be a shift from mature forests with tall, buffering trees to forests with a shorter overall stature (McDowell
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et al., 2020). At this point, species whose drought resistance relies in part on existence within a buffered 492 microenvironment (e.g., F. grandifolia) could in turn become more susceptible. Here, the relative importance of tree height per se versus crown exposure becomes crucial, shaping whether the dominant trees of shorter 494 canopies are significantly more drought resistant because of their shorter stature, or whether high exposure 495 makes them as vulnerable as the taller trees of the former canopy. Studies disentangling the influence of height and exposure on drought tolerance will be critical to answering this question. Ultimately, distributions 497 of tree heights and drought tolerance traits across broad moisture gradients suggest that forests exposed to 498 more drought will shift towards shorter stature and be dominated by species with more drought-tolerant traits (Liu et al., 2019; Bartlett et al., 2016a; Zhu et al., 2018). Our study helps to elucidate the mechanisms 500 behind these patterns, opening the door for more accurate forecasting of forest responses to future drought. 501

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### 513 Author Contribution

KAT, IM, and AJT designed the research. Tree-ring chronologies were developed by RH under guidance of AJT and NP. Trait data were collected by IM, JZ under guidance of NK and LS. Other plot data were collected by IM, AS, EGA, and NB under guidance of EGA and WM. Data analyses were performed by IM under guidance of KAT and VH. KAT and IM interpreted the results. IM and KAT wrote the first draft of manuscript, and all authors contributed to revisions.

## 519 Supplementary Information

- NEED TO UPDATE !!\*\* Table S1. Monthly Palmer Drought Severity Index (PDSI), and its rank among all years between 1950 and 2009 (driest=1), for focal droughts.
- $_{522}$  Table S2. Species-specific bark thickness regression equations.
- Table S3. Species-specific height regression equations.
- Table S4. Individual tests of species traits as drivers of drought resistance, where Rt is used as the response variable.
- Table S5. Individual tests of species traits as drivers of drought resistance, where  $Rt_{ARIMA}$  is used as the response variable.
- Table S6. Summary of top full models for each drought instance, where Rt is used as the response variable.

- Table S7. Summary of top models for each drought instance, where  $Rt_{ARIMA}$  is used as the response variable.
- Figure S1. Time series of Palmer Drought Severity Index (PDSI) for the 2.5 years prior to each focal drought
- Figure S2. Map of ForestGEO plot showing topographic wetness index and location of cored trees
- Figure S3. Distribution of reconstructed tree heights across drought years.
- Figure S4. Distribution of independent variables by species.
- Figure S5. Comparison of Rt and  $Rt_{ARIMA}$  results, with residuals, for each drought scenario
- Figure S6. Visualization of best model, with data, for all droughts combined.
- 537 Appendix S1. Further Package Citations

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